



PATENT
Atty. Docket No. PP-18707.002

I hereby certify that this paper is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Nancy L. Swanson
Nancy L. Swanson

12/5/03
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: JAITNER and FANTL
Confirmation No.: 1248
U.S. Application No. 10/609,150
Filing Date: June 25, 2003
Group Art Unit: 1623
Examiner: Unassigned
For: SOS1 INHIBITORS

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Sir:

CHIRON CORPORATION, a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest,
or
2. ☐ an assignee of an undivided part interest in the patent application/patent identified above by virtue of either:

DO NOT FORWARD TO ASSIGNMENT BRANCH

- A. ☒ The patent application identified above claims benefit of U.S. Provisional Application No. 60/391,993, filed June 26, 2002, 1997, wherein an Assignment was mailed to the Assignment Branch of the U.S. Patent and Trademark Office on December 4, 2003 for recordation; a copy of which is attached hereto.

The patent application identified herein, i.e., U.S. Patent Application No. 10/609,150, filed June 25, 2003, wherein an Assignment was mailed to the Assignment Branch of the U.S. Patent and Trademark Office on December 4, 2003 for recordation; a copy of which is attached hereto.

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned is empowered to act on behalf of the assignee.

Signature: Charlene A. Launer
Name: Charlene A. Launer
Title: Assistant Secretary
CHIRON CORPORATION
Date: December 5, 2003

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DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SOS1 INHIBITORS

the specification of which (check one) _____ is attached hereto x was filed on **June 25, 2003**, as U.S. Patent Application, Serial No. **10/609,150**, and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Yes</u>	<u>No</u>

I hereby claim the benefit under Title 35, United States Code, §120 and/or 119(e) of any United States application(s) and/or provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application		Status
<u>Serial No.</u>	<u>Filing Date</u>	<u>Patented, Pending, Abandoned</u>
60/391,993	June 26, 2002	Abandoned

I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that:

these statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: **BIRGIT K. JAITNER**

Inventor's signature Birgit Jaitner Date: Dec 4th 2003

Residence San Francisco, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of second inventor: **WENDY J. FANTL**

Inventor's signature Wendy J. Fantl Date: Nov 19th 2003

Residence San Francisco, California

Citizenship United States

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Atty Docket No.: PP-18707.001

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

JAITNER, Birgit K.
FANTL, Wendy J.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: **Chiron Corporation**

Internal Address: _____

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

☐ Other

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Execution Date: **December 4, 2003, June 23, 2003**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent Registration No.(s)

U.S. Provisional Application No. 60/391,993

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Chiron Corporation**

Internal Address:

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

6. Total number of applications and patents involved **1**

7. Total fee (37 CFR 3.41)..... **\$40.00**

☒ Enclosed

☐ Authorized to be charged to deposit account,

8. Deposit account number:

03-1664

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Charlene A. Launer (Reg. No. 33,035)

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **5**

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Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P. O. 1450, Alexandria, VA 22313-1450, on this

4th day of **December**, 20 **03**.

By: **May L. Swane**

ASSIGNMENT

WHEREAS, We, Birgit K. Jaitner and Wendy J. Fantl, hereinafter referred to as *ASSIGNORS*, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SOS1 INHIBITORS

Date of Execution: December 4, 2003
 June 23, 2003

Filing Date: June 26, 2002

Serial No: U.S. Provisional Application No. 60/391,993

WHEREAS, Chiron Corporation, hereinafter referred to as *ASSIGNEE*, is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to *ASSIGNORS* by *ASSIGNEE*, receipt of which is hereby acknowledged, *ASSIGNORS* have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said *ASSIGNEE*, and *ASSIGNEE'S* successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (**including conversions claiming priority under 35 U.S.C. §119(e)**), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said *ASSIGNEE* as fully and exclusively as it would have been held and enjoyed by said *ASSIGNORS* had this assignment and transfer not been made, to the full end and term of any Letters Patent.

ASSIGNORS also agree that the U.S. application number may be entered above by **ASSIGNEE** or its agents upon designation of the application number by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said **ASSIGNEE**, but at **ASSIGNEE'S** expense, cooperate with **ASSIGNEE** in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as **ASSIGNEE** lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said **ASSIGNEE**, or **ASSIGNEE'S** successors and assigns.

IN TESTIMONY WHEREOF, **ASSIGNORS** have hereunto signed their names to this assignment on the dates indicated below.

DATE Dec 4th 2003

Birgit K. Jaitner
Birgit K. Jaitner

DATE June 23rd 2002

Wendy J. Fantl
Wendy J. Fantl

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

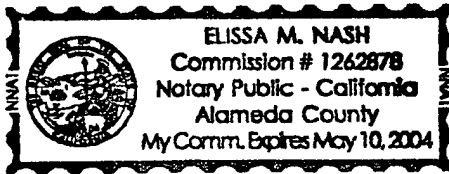
County of Alameda

SS.

On June 23, 2003, before me, Elissa M. Nash
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Wendy Fantl
Name(s) of Signer(s)

- ☒ personally known to me
☐ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

Signature of Notary Public

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: _____

Document Date: _____ Number of Pages: _____

Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER

Top of thumb here

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of

Alameda

} ss.

On 12/4/03, before me,

Date

Nancy L. Swanson
Name and Title of Officer (e.g., "Jane Doe, Notary Public")

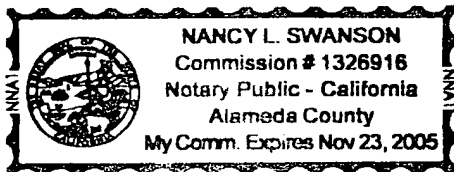
personally appeared

Digik

K. Jaitner
Name(s) of Signer(s)

- ☒ personally known to me
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies); and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Place Notary Seal Above

Nancy L. Swanson
Signature of Notary Public

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: _____

Document Date: _____ Number of Pages: _____

Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

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OF SIGNER
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Form PTO-1595
(Rev. 03/01)
OMB No. 0651-0027 (exp. 5/31/2002)

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U.S. Patent and Trademark Office

Atty Docket No.: PP-18707.002

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

JAITNER, Birgit K.
FANTL, Wendy J.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: **Chiron Corporation**

Internal Address: _____

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

☐ Other

3. Nature of conveyance:

☒ Assignment

☐ Security Agreement

☐ Other _____

☐ Merger

☐ Change of Name

Execution Date: **December 4, 2003, November 19, 2003**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

U.S. Patent Application No. 10/609,150

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Chiron Corporation**

Internal Address:

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

6. Total number of applications and patents involved **1**

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account,

8. Deposit account number:

03-1664

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Charlene A. Launer (Reg. No. 33,035)

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **4**

Mail documents to be recorded with required cover sheet information to:

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Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P. O. 1450, Alexandria, VA 22313-1450, on this

4th day of **December**, 20 **03**.

By:

Manh S. Swann

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ASSIGNMENT

WHEREAS, We, BIRGIT K. JAITNER and WENDY J. FANTL, hereinafter referred to as ASSIGNORS, have co-invented certain improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SOS1 INHIBITORS
Date of Execution: December 4, 2003 and November 19, 2003
Filing Date: June 25, 2003
Serial No: 10/609,150

WHEREAS, CHIRON CORPORATION, located at 4560 Horton Street, Emeryville, California 94608-2916, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNORS by ASSIGNEE, receipt of which is hereby acknowledged, ASSIGNORS have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE'S successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. § 119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said ASSIGNORS had this assignment and transfer not been made, to the full end and term of any Letters Patent.

ASSIGNORS also agree that the U.S. serial number and the filing date may be entered above by ASSIGNEE or its agents upon designation of the serial number and the filing date by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said **ASSIGNEE**, but at **ASSIGNEE'S** expense, cooperate with **ASSIGNEE** in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as **ASSIGNEE** lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said **ASSIGNEE**, or **ASSIGNEE'S** successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

INVENTOR: BIRGIT K. JAITNER

DATE Dec 4th 2003

Birgit Jaitner
Signature

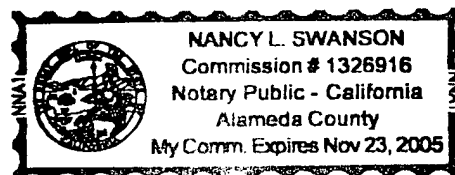
State of California

County of Alameda

On 12/4/03 before me, Nancy L. Swanson Notary Public, personally appeared Birgit K. Jaitner, personally known to me OR proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in ~~his/her/their~~ authorized capacity(ies), and that by ~~his/her/their~~ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson
Signature of Notary Public



Notary Seal

INVENTOR: WENDY J. FANTL

DATE Nov 19th 2003

Wendy J. Fantl
Signature

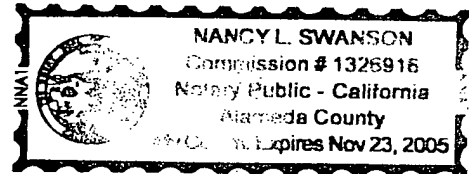
State of California

County of Alameda

On 11/19/2003 before me, Nancy L. Swanson, Notary Public,
personally appeared Wendy J. Fantl, personally known to me OR proved
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the
within instrument and acknowledged to me that he/she/they executed the same in
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed
the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson
Signature of Notary Public

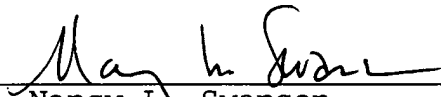


Notary Seal



PATENT
Atty. Docket No. PP-18707.002

I hereby certify that this paper is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Nancy L. Swanson


Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: JAITNER and FANTL
Confirmation No.: 1248
U.S. Application No. 10/609,150
Filing Date: June 25, 2003
Group Art Unit: 1623
Examiner: Unassigned
For: SOS1 INHIBITORS

POWER OF ATTORNEY FOR PATENT APPLICATION

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

As assignee of record of the above-identified application, I hereby appoint the following as my attorneys with full power of substitution to prosecute this application and transact all business in the patent office connected therewith:

Comprising Chiron Corporation, Emeryville, California:

<u>Name</u>	<u>Reg. No.</u>	<u>Name</u>	<u>Reg. No.</u>
Lisa E. Alexander	41,576	Robert P. Blackburn	30,447
Steven W. Collier	42,429	Young J. Suh	41,337
Rebecca M. Hale	45,680	Alisa A. Harbin	33,895
Charlene A. Launer	33,035	Marcella Lillis	36,583

Comprising the firm of Davis, Wright Tremaine LLP, Seattle, Washington:

Jane E. R. Potter, Esq.
Registration No. 33,332

Barry L. Davison, Ph.D., J.D.
Registration No. 47,309

Please direct all telephone calls regarding this application to Jane E. R. Potter at Davis, Wright Tremaine LLP: Telephone (206) 622-3150; Facsimile (206) 628-7699.

Address for ALL Correspondence:

Chiron Corporation
Intellectual Property
P.O. Box 8097
Emeryville, CA 94662-8097

CHIRON CORPORATION

By: 
Charlene A. Launer
Assistant Secretary

Dated this 5 day of December, 2003